



Management Appraisal Program

Law Enforcement Management
Plan Document

Management Appraisal Program (MAP)

January 2005

Overview

The Management Appraisal Program (MAP) is based on a calendar year cycle and was implemented January 1, 2005 for all represented and unrepresented administrative management and law enforcement management employees.

Objectives

The plan objectives are to:

- ❑ Establish clear priorities and expectations for performance in managing day-to-day operations as well as working toward attaining established goals.
- ❑ Engage participants in ongoing communication that links Department/County strategic priorities/planning processes to the manager's individual performance.
- ❑ Develop the skills and abilities of County managers on an ongoing basis.
- ❑ Apply a consistent approach to planning, motivating, appraising, and rewarding County managers.

Process

Performance management is viewed as the mutual responsibility of managers and their supervisors to plan, provide feedback, and assess performance expectations and goals.

The three key components of the Management Appraisal Program (MAP) include:

1. Collaborative performance planning and goal setting that commence at the beginning of the performance cycle (one year);
2. A mid-cycle review of performance and a progress review on goal achievement;
3. An end-of-cycle performance appraisal and rating of performance; satisfactory performance will result in a salary adjustment for eligible employees.

Annual Appraisal Categories, Ratings, Rewards

Managers will be appraised in six (6) categories of core competencies, including:

- Leadership/Judgment
- Effective Communication
- Planning and Organization
- Problem Solving
- Results Oriented Attributes
- Supervision (if applicable)

A manager's performance will also be appraised based on attaining from one to three mutually agreed upon goals. Upon the supervisor's final review of the manager's competencies and goal attainment, one of the following four (4) overall ratings will be applied in evaluating the manager's overall performance for the year/cycle:

- Exceptional
- Exceeds Expectations
- Meets Expectations
- Needs Improvement

Eligible managers rated "Meets Expectations" or above will receive a 2% performance based salary increase provided they have not reached the maximum of the range advertised for the position/classification. Also, managers rated as "Meets Expectations" or above may receive additional compensation, based on performance, if the Board of Supervisors approves funding. PSR provisions regarding October "Performance Based Increases Within Range" remain unchanged for Law Enforcement Management.

Management Appraisal Program – How It Works

MAP Timeline

MAP begins in January of each calendar year. Annually, by the end of February, managers and their supervisors will meet to discuss performance planning and goal setting and develop a performance plan for the coming year (Phase 1). Prior to ending the meeting, jointly agreed upon goal(s) will be established for the year and a date will be set for a mid-year review and discussion of the manager's core competencies and progress toward the established goal(s) (Phase 2). At the end of the mid-year review, the manager and his/her supervisor will set a date for the final performance appraisal meeting (Phase 3). The final performance appraisal will be completed by mid-December each year. Performance-based increases and incentives will be paid in January of each year.

Performance Planning and Goal Setting (Phase 1)

The purpose of the Performance Planning and Goal Setting component of MAP is to provide each manager with a clear understanding of performance expectations and business objectives for the coming year.

At the beginning of the cycle/year, the manager and his/her supervisor will discuss:

1. The six categories of core competencies (Leadership/Judgment, Effective Communication, Planning & Organization, Problem Solving, Results-Oriented and Supervision – if applicable) in relationship to the manager's individual work.
 - a. Core competency discussions include a joint assessment of the manager's current skills in relationship to the competency and jointly defining how the competency relates to Agency/Department operations and the manager's assigned duties.
 - b. From the discussion, strategies will be established for further development in areas that can be strengthened.
2. The current and upcoming strategic priorities/business plans of the Agency/Department and the County of Orange.
3. Goals for the individual manager for the coming cycle.
 - a. Goals can be either **program goals**, related to the core business of the Agency/Department and/or the County of Orange, or **developmental goals**, designed to expand or enhance the skill and performance of the individual manager. Developmental goals will be selected from one or more of the management competencies (see Attachment B).
 - b. The manager and his/her supervisor will discuss and develop goals that are related to business objectives and the individual manager's assignment. In

collaboration with the supervisor, one to three goals will be established for the upcoming year. At least one goal will be a “program goal.”

- c. Goals will meet one or more of the following criteria:
 - ☐ Eliminate barriers to service delivery and efficiency
 - ☐ Reduce costs and/or use resources more efficiently
 - ☐ Improve the quality or quantity of services provided
 - ☐ Use creative or innovative approaches or best practices
 - ☐ Improve agency/departmental accountability
 - d. Each established goal should result in the accomplishment of a measurable or observable outcome for the organization that is directly linked to the manager’s assignment/work or the Agency/Department or County strategies/business plans.
 - e. If organizational priorities shift or conditions change, goals may be changed/modified.
4. At the end of this meeting, a date will be set for the Mid-Year Performance Review.

Mid-Year Performance Review (Phase 2)

The purpose of the Mid-Year Performance Review is to discuss performance plan progress, progress on achieving goals, and any shifting business priorities. It is an opportunity for coaching, feedback, and counseling focused on skill development.

1. The next formal meeting between the manager and his/her supervisor will be held to review the manager’s performance in relationship to core competencies and progress toward attaining the goal(s) established in Phase 1. Open discussion about performance is encouraged throughout the year; however, the Mid-Year Performance Review is a required meeting to discuss/review the manager’s performance/goals/significant changes that may impact the manager’s work. The manager’s supervisor will provide feedback, and goals may be refined/modified based on discussion or unforeseen changes.
2. If a manager is rated as “Needs Improvement” at the Mid-Year Review, or at any time during the performance cycle, he/she will work collaboratively with the supervisor to develop up to a 90-day Corrective Action Plan in order to give the manager the opportunity to bring his/her performance to an acceptable level.
3. The Mid-Year Performance Review meeting will occur at approximately the mid-point of the performance cycle, and at the end of this meeting the Annual Appraisal Meeting will be scheduled.

Annual Appraisal Meeting (Phase 3)

The purpose of the Annual Appraisal Meeting is to discuss the manager's core competencies, attained goals, and overall performance. It is an opportunity for the manager to provide input into his/her evaluation.

1. After obtaining the employee's input, the supervisor will complete the Management Appraisal Program Form (evaluation) and have it reviewed by the senior manager (Reviewer) before providing it to the employee.
2. The supervisor will rate the manager's overall performance for the year, based on ongoing performance, unanticipated accomplishments, and goal attainment. Performance will be rated as Exceptional, Exceeds Expectations, Meets Expectations, or Needs Improvement. (See definitions in Attachment C.) Any eligible manager rated "Meets Expectations" or above will be eligible for a 2% performance based salary. When funding for additional compensation is approved by the Board of Supervisors, the supervisor will also record the performance-based increase granted, as determined by the Department Head, on the MAP form.
3. If a manager is rated as "Needs Improvement" at this point, or at any time during the performance cycle, he/she will work collaboratively with the supervisor to develop up to a 90-day Corrective Action Plan in order to bring performance to an acceptable level.
4. The final meeting between the manager and his/her supervisor will occur prior to mid-December each year. At this time a meeting will be scheduled to begin next year's performance planning process.

Management Appraisal Form

The Management Appraisal Program Appraisal Form is provided as Attachment A.

This is the single form that will be used to document a manager's performance, including interim evaluation, probationary evaluation, and all three phases of the annual performance review process.

- Phase 1 – Performance Planning and Goal Setting – This is an internal planning document and is **not to be forwarded to Human Resources or the employee's personnel file.**
- Phase 2 - Mid-Year Review – This is an internal planning document and **is not to be forwarded to Human Resources or the employee's personnel file.**
- Phase 3 - Final Performance Appraisal/Rating (for annual evaluations, interim evaluations, and probationary status evaluations). This is an official document that will be forwarded to the employee's official personnel file.

Corrective Action Plans

The purpose of a Corrective Action Plan (CAP) is to provide a manager whose performance is not meeting the performance expectations, core competencies, and/or the established goals for his/her job an opportunity to bring performance to an acceptable level.

Following are guidelines for the implementation of a CAP:

- A CAP is designed to bring performance to an acceptable level within 90 days.
- CAPs should be preceded by discussions about performance concerns, coaching, and counseling. Therefore, the use of a CAP should not come as a surprise the manager experiencing performance difficulties.
- Each CAP should include the following information:
 - The essential requirements of the job that are not being fulfilled.
 - A description of the performance that is not meeting performance expectations, core competencies, and/or goals.
 - Specific and measurable action items for the employee to take to bring performance to an acceptable level by agreed upon deadlines.
- At minimum, the employee and supervisor should meet monthly to discuss progress.
- If a manager's performance continues to deteriorate, during the 90-day period, stronger measures may be employed, including disciplinary action up to and including discharge.
- If the employee does not bring performance to an acceptable level, the supervisor should contact CEO/Employee Relations to determine appropriate measures.
- If an employee improves in the 90-day period, it is expected that performance be sustained at an acceptable level from that point forward.
- Should additional incidents of poor performance recur, the supervisor should contact CEO/Employee Relations to determine appropriate measures.



COUNTY OF ORANGE

**Management Appraisal Program (MAP)
Performance Planning and Appraisal Form**

- ☐ Interim
☐ Probation
☐ Annual

Agency/Department: _____

Participant: _____

Title: _____

The following are planning documents and are not to be sent to Human Resources or the employee's personnel file.

- ☐ Performance Plan
☐ Mid-year Review

Period Covered: _____ to _____

Overall Appraisal

*Summarize overall performance in two areas: 1) Core competencies and 2) Goal Achievement.
(Attach additional sheets as needed.)*

1) **CORE MANAGEMENT COMPETENCIES:** (Leadership/Judgment, Effective Communication, Planning/Organizing, Problem Solving, Results-Oriented, Supervision -if applicable)

2) **ATTAINING GOALS (1-3 Goals):**

Goal # 1:

Results:

Goal # 2:

Results:

Goal # 3:

Results:

OVERALL PERFORMANCE RATING

Overall Performance Rating (check one):

☐ Exceptional
 ☐ Exceeds Expectations
 ☐ Meets Expectations
 ☐ Needs Improvement

 Probation Approved ☐

 Probation Denied ☐

☐ Performance-based salary increase granted
 (Meets Expectations or above)

Supervisor's Signature _____

Date _____

Reviewer's Signature _____

Date _____

Employee's Signature _____

Date _____

☐ **Optional – Employee Comments Attached**

Optional – Employee Comments

(Employee may provide performance-related comments for inclusion in the employee's personnel file as part of this performance evaluation.)

Attachment B

Management Core Competency Categories/Examples

The following chart provides definitions for the six Core Competency categories upon which the appraisal of managers will be based and provides some examples of skills that can be included in assessing each competency area and/or determining goals for managers.

Managers will be rated using the competencies listed on the left side of the chart. The right side of the chart provides examples of various attributes related to each competency. Only those attributes that apply to a manager's job duties are to be reviewed and discussed relative to setting performance expectations for the manager. ***Not all attributes will apply to every manager's job.*** The supervisor and manager may also define other attributes that relate more specifically to an individual job.

COMPETENCY	EXAMPLES OF COMPETENCY SKILLS (you may identify attributes from this list or develop your own)
<i>Leadership/Judgment</i> <i>Guides and directs others toward meeting business objectives while encouraging openness, creativity, and innovation</i>	<ul style="list-style-type: none"> • Leads confidently by taking personal responsibility for decisions and actions • Aligns organizational vision with County strategic goals and department business objectives • Uses creativity and innovation in achieving business objectives • Builds effective working relationships inside and outside the organization • Promotes flexibility by planning for the effects of organizational change • Initiates and displays a willingness to change in order to obtain and sustain key business initiatives • Values learning and finds opportunities for challenging and improving personal performance • Actively promotes teamwork by creating a culture and environment that supports individual and team empowerment • Exhibits courage to take action by tackling difficult challenges • Promotes the principles of contemporary leadership practices • Keeps technical knowledge, certifications, licenses, etc. current • Displays departmental and/or County perspective in dealing with issues • Confronts conflict directly and objectively with a goal of resolution for all parties • Makes suggestions for improvements
<i>Effective Communication</i> <i>Delivers a message orally or in writing in such a way that the receiver understands the message the way it was intended</i>	<ul style="list-style-type: none"> • Promotes open, candid information sharing across organizational boundaries • Builds consensus among diverse groups for the purpose of meeting business objectives • Listens effectively to others • Presents ideas and complex material clearly, concisely, logically, and persuasively both orally and in writing • Deals effectively with various levels of the organization • Ensures timely, appropriate communication with stakeholders • Applies contemporary technical concepts and best practices to assignment • Readily and routinely shares technical knowledge with others

Attachment B

<p>Planning and Organization Effectively prioritizes work and meets established deadlines</p>	<ul style="list-style-type: none"> • Sets project goals and objectives aligned with departmental and/or County priorities • Plans for acquiring resources needed for project completion • Integrates changes smoothly • Works in an organized manner • Exhibits cost consciousness and conserves departmental and/or County resources • Assigns work to project team members, establishes expectations, and monitors activities
<p>Problem Solving Uses rational processes to make timely and sound decisions</p>	<ul style="list-style-type: none"> • Finds and acts on new opportunities, eliminates barriers to change and unneeded bureaucracy • Makes sound business decisions based on limited, complex, or contradicting information and relevant public service ethical principles • Integrates new ideas and contemporary approaches into problem solving • Gathers, analyzes, and applies information skillfully • Develops alternative solutions • Exhibits innovation and creativity in identifying and resolving problems as they occur • Works effectively in group problem solving situations
<p>Results-Oriented Achieves measurable results</p>	<ul style="list-style-type: none"> • Sets challenging, measurable project goals that are aligned with broad County strategies and departmental business objectives • Plans, organizes, and implements projects to meet established timeframes • As opportunities arise, reengineers business processes and improves organizational effectiveness by proposing and implementing change initiatives required to improve efficiency, streamline operations, and meet current and future business needs • Measures performance against key operational and financial targets/goals • Investigates and adopts best practices where possible • Sets appropriate priorities and modifies as needed • Is accountable for personal performance and goal achievement and maintains sufficient content and knowledge to perform all aspects of the job effectively • Applies contemporary technical concepts to communications
<p>Supervision Accomplishes business goals through others by collaboratively monitoring, developing skills, and managing performance Note: This competency only applies to those managers who supervise staff</p>	<ul style="list-style-type: none"> • Ensures that individual performance action plans are aligned to business strategies • Motivates performance for the purpose of achieving County and/or departmental goals • Assists employees in defining and following through with actions that support performance and personal development • Uses reward and recognition programs appropriately • Clarifies performance expectations (e.g., roles, responsibilities, standards, and goals) collaboratively with others • Motivates people to reach their highest performance potential • Sets direction to meet business objectives • Provides honest, timely feedback about performance

Attachment B

	<ul style="list-style-type: none">• Tailors developmental suggestions (e.g., training, learning opportunities, key experiences) to fit individual, team, and organizational needs• Effectively manages all aspects of the County's performance management system within established timeframes• Recognizes that making mistakes is an important part of learning• Assigns clear authority and holds others accountable for goal achievement• Within the scope of business limitations, provides resources and support to ensure that key strategies and results are achieved• Values learning for staff and seeks out opportunities and skill development as resources permits• Administers discipline in a fair and consistent manner as required
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Definitions of Rating Categories:

- ***Exceptional*** – consistently far exceeds performance expectations and the competencies required for the job, and represents the County and agency/department interests in an exemplary fashion. Employees in this category operate at a higher level and consistently:
 - Effectively move the agency/department toward the accomplishment of business goals
 - Attain high-quality results
 - Operate within a well-defined ethical framework
 - Demonstrate a high degree of professionalism in all endeavors
 - Demonstrate commitment and dedication
- ***Exceeds Expectations*** – consistently exceeds performance expectations and the competencies required for the job. Employees in this category consistently contribute to the accomplishment of business objectives, frequently operate at a higher level, and usually exceed job expectations.
- ***Meets Expectations*** – normally meets and sometimes exceeds performance expectations and the competencies required for the job. Some core competencies may require additional skill development; however, overall performance contributes to the accomplishment of business objectives.
- ***Needs Improvement*** – frequently fails to meet performance expectations and core competencies for the job, despite the committed efforts of his/her supervisor to assist in correcting performance. The overall performance of employees in this category has a negative impact on departmental operations, and the employee has not satisfactorily responded to coaching, counseling, or corrective action plans. Failure to improve performance to a satisfactory level may lead to disciplinary action, including reduction or discharge.